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TFW 2185

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EXPRESS MAIL LABEL NO.: EV566185017US PATENT APPLICATION  
Docket No.: 13768.213

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

X Form PTO-1449 list of six (8) references submitted for consideration.

X Legible copies of the listed references or their relevant portions.

— All English translations of each non-English reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

— Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.

— Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.

— Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

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OF COUNSEL

\_\_\_ Legible Copies of previously filed Information Disclosure Statement for application Serial No. \_\_\_, filed \_\_\_\_.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

\_\_\_ Promptness Certification.

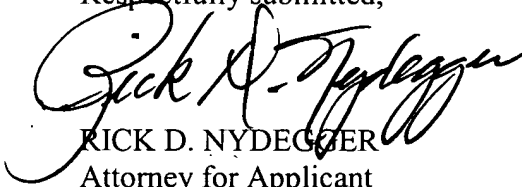
\_\_\_ Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ constituting submission fee under 37 C.F.R. 1.17(p);

\_\_\_ Petition for Consideration and Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_.

X In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 6<sup>th</sup> day of December, 2005.

Respectfully submitted,



RICK D. NYDECKER  
Attorney for Applicant  
Registration No. 28,651  
Customer No. 47973



EXPRESS MAIL LABEL NO.: EV 566 185 017 US

PATENT APPLICATION  
Docket No.: 13768.213

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:		)
		)
	Alireza Dabagh, et al.	)
		)
Serial No.:	10/020,286	) Art Unit
		) 2185
Filed:	December 11, 2001	)
		)
Confirmation No.:	8376	)
		)
For:	ARCHITECTURE AND RUN-TIME	)
	ENVIRONMENT FOR NETWORK	)
	FILTER DRIVERS	)
		)
Examiner:	Not Yet Known	)

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

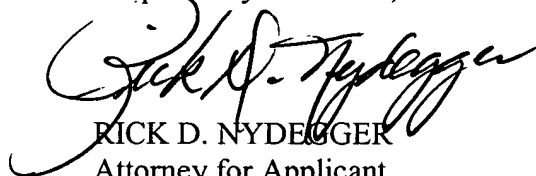
Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each nonenglish reference, if any, are also enclosed.

Dated this 6<sup>th</sup> day of December, 2005.

Respectfully submitted,



RICK D. NYDEGGER  
Attorney for Applicant  
Registration No. 28,651  
Customer No. 47973



CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Alireza Dabach, et al.		Docket No. 13768.213
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Serial No. 10/020,286	Filing Date December 11, 2001	Confirmation No. 8376	Examiner Not Yet Known	Group Art Unit 2185
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Invention: ARCHITECTURE AND RUN-TIME ENVIRONMENT FOR NETWORK FILTER DRIVERS

I hereby certify that the Transmittal letter (2 pages) (in triplicate); Information Disclosure Statement (2 pgs); Form PTO-1449 Listing all Cited References (3 pgs); Legible Copies of Eight (8) Cited References; and postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on December 6, 2005.

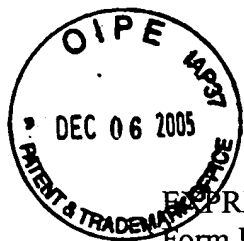
Kendell Steele

(Typed or Printed Name of Person Mailing  
Correspondence)

(Signature of Person Mailing Correspondence)

EV 566 185 017 US

("Express Mail" Mailing Label Number)



EXPRESS MAIL LABEL NO.: EV 566 185 017 US

Form PTO-1449

Sheet 1 of 3

Applicant: Alireza Dabagh, et al.

Serial No.: 10/020,286

Att'y Docket No.: 13768.213

Filing Date: December 11, 2001

Group: 2185

Confirmation No.: 8376

For: ARCHITECTURE AND RUN-TIME ENVIRONMENT FOR  
NETWORK FILTER DRIVERS

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INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
_____ A1.	6,130,868	10/10/00	Yamamoto	369	54	10/08/97

U.S. Patent Publications

<u>Examiner Initial*</u>	<u>Publication Number</u>	<u>Pub Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
_____ A2.	2001/0023449	09/20/01	Clark, et al.	709	231	12/15/00

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publ. Date</u>	<u>Country or Patent Office</u>	<u>Sub Class</u>	<u>Class</u>	<u>Trans- lation</u>
_____ A3.	CA 2325652	05/13/2001	Canada	H04L	12/24	

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

EXPRESS MAIL LABEL NO.: EV 566 185 017 US

Form PTO-1449

Sheet 2 of 3

Applicant: Alireza Dabagh, et al.

Serial No.: 10/020,286

Att'y Docket No.: 13768.213

Filing Date: December 11, 2001

Group: 2185

Confirmation No.: 8376

For: ARCHITECTURE AND RUN-TIME ENVIRONMENT FOR  
NETWORK FILTER DRIVERS

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Other Documents

Examiner

Initial\*

- \_\_\_\_\_ A4. Wolthusen, Stephen D., "Security Policy Enforcement at the File System Level in the Windows NT Operating System Family" Computer Security Applications Conference, 2001, Proceedings 17<sup>th</sup> Annual Dec. 10-14, 2001, Pages 55-63.
- \_\_\_\_\_ A5. Hutchinson, Norman C., "RPC in the x-Kernel: Evaluating New Design Techniques" Operating Systems Review, ACM Headquarters, New York, Vol. 23, No. 5, January 1989, pages 91-101.
- \_\_\_\_\_ A6. "Augmentation of the Microsoft TCP/IP Stack Via an Network Driver Interface Specification Intermediate Driver" IBM Technical Disclosure Bulletin, Vol. 41, No. 1, January 1998, pages 301-302.
- \_\_\_\_\_ A7. Russinovich, Mark, et al., "Examining the Windows NT Filesystem" Dr. Dobb's Journal, M&T Publ. February 1997, pages 42, 44-46, 48.
- \_\_\_\_\_ A8. Risso Fulvio, et al., "An Architecture for High Performance Network Analysis" Computers and Communications, 2001 Proceedings, Sixth IEEE Symposium on July 3-5, 2001, pages 686-693.

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

EXPRESS MAIL LABEL NO.: EV 566 185 017 US

Form PTO-1449

Sheet 3 of 3

Applicant: Alireza Dabagh, et al.

Serial No.: 10/020,286

Att'y Docket No.: 13768.213

Filing Date: December 11, 2001

Group: 2185

Confirmation No.: 8376

For: ARCHITECTURE AND RUN-TIME ENVIRONMENT FOR  
NETWORK FILTER DRIVERS

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### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

KCS0000007276V001.doc

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.